

## AMS/FAST CHANGE REQUEST (CR) COVERSHEET

**Change Request Number:** 23-40

**Date Received:** March 2, 2023

**Title:** Unsolicited Proposal Modernization

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**Policy and Guidance:** (Please check only one box)

- |   |  |
|---|--|
| <input type="checkbox"/> Policy                 | <input type="checkbox"/> Procurement Tools and Resources     |
| <input checked="" type="checkbox"/> Guidance    | <input type="checkbox"/> Real Property Templates and Samples |
| <input type="checkbox"/> Procurement Samples    | <input type="checkbox"/> Procurement Clauses                 |
| <input type="checkbox"/> Procurement Templates  | <input type="checkbox"/> Real Property Clauses               |
| <input type="checkbox"/> Procurement Forms      | <input type="checkbox"/> Other Tools and Resources           |
| <input type="checkbox"/> Procurement Checklists |  |

### Summary of Change:

AMS Guidance T3.2.2.6 to modernize the unsolicited proposal process. The following changes were implemented:

(1) New centralized AAP email account coordinates intake and reviews

(2) AMS Guidance edited to provide Program Offices streamlined information on conducting evaluations and provide Vendors transparency on processing by agency

(3) Record Management of received Unsolicited Proposals formalized in guidance

### Reason for Change:

AAP-100 is updating Guidance on Unsolicited Proposals to: (1) provide transparency into the FAA's processing of received unsolicited proposals; (2) improve FAA's efficiency in processing unsolicited proposals; and (3) aid offerors in drafting compliant unsolicited proposals.

**Development, Review, and Concurrence:** AAP-110

**Target Audience:** Contracting and Program Office Personnel

**Briefing Planned:** Yes

**ASAG Responsibilities:** ASAG Approved at the March 21 ASAG Meeting.

**Section / Text Location:** Procurement Guidance T3.2.2.6

**The redline version must be a comparison with the current published FAST version.**

- ☒ I confirm I used the latest published version to create this change / redline  
or  
☐ This is new content

**Links:** <https://fast.faa.gov/docs/procurementGuidance/guidanceT3.2.2.6.pdf>

**Attachments:** Redline and final documents.

**Other Files:** N/A.

**Redline(s):**

### Section Revised: T3.2.2.6 – Unsolicited Proposals

#### Procurement Guidance - (~~1/2023~~4/2023)

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#### T3.2.2.6 - Unsolicited Proposals Revised 10/2008

##### A Unsolicited Proposals

1 General ~~Added 1/2022~~ Revised 4/2023

2 Responsibilities Revised ~~1/2022~~4/2023

3 Content of UP ~~Unsolicited Proposal~~ Revised ~~1/2022~~4/2023

4 Receipt of UP Revised ~~1/2022~~4/2023

5 Procedures ~~5 Record Management and Initial Review~~ Revised ~~1/2022~~4/2023

6 Evaluation Revised ~~10/2022~~4/2023

7 Notifying the Offeror ~~Revised 1/2022~~

8 Prohibitions ~~Revised 1/2022~~

7 Prohibitions Revised 4/2023

##### B Clauses

##### C Forms

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### T3.2.2.6 - Unsolicited Proposals Revised 10/2008

#### A Unsolicited Proposals

##### 1 General ~~Added 1/2022~~ Revised 4/2023

- a. Unsolicited proposals (UPs) allow unique and innovative ideas or approaches that have been developed outside of the Government to be made available to Government agencies for use in accomplishment of their missions. The FAA accepts UPs that are offered with the intent that the FAA will enter into a contract with the offeror for efforts which may include research and development or any other ~~efforts~~activity supporting the FAA mission.
- b. Advertising material, commercial item offers, contributions, or routine correspondence on technical issues, are not unsolicited proposals.
- c. A valid ~~unsolicited proposal~~UP must:
  - (1) be innovative and unique;
  - (2) be independently originated and developed by the offeror;
  - (3) be prepared without FAA supervision, endorsement, direction, or direct Government involvement;
  - (4) include sufficient detail to permit a determination that FAA support could be worthwhile and the proposed work could benefit the FAA's research and development or other mission responsibilities;
  - (5) not be an advance proposal for a known agency requirement that can be acquired by competitive methods; and
  - (6) not address a previously published agency requirement.
- d. ~~Unsolicited proposals~~UPs in response to a publicized, general statement of FAA needs are considered to be independently originated.

##### 2 Responsibilities Revised 1/2022 4/2023

~~a. Central Point of Contact.~~ a. The Acquisition Policy Division (AAP-100) ~~is the central point of contact for unsolicited proposals (UPs), and~~ has overall responsibility for ~~control~~managing and tracking ~~of all UPs in received by the FAA. Potential offerors~~Offerors should send UPs to AAP-100, ~~which will process the UP in accordance with this section.~~ by email at AAP-Unsolicited-Proposals@faa.gov.

b. *Signing Official.* The Signing Official oversees AAP-100's management of UPs and affirms in writing final determinations made on all proposals. The Manager of AAP-100 serves as the Signing Official.

c.

~~b. *Designated UP Coordinator.* Each office head or service director in Washington headquarters, Regional Administrators, and Center Directors should designate a person as a contact and coordinator for UPs. The UP coordinator will receive, track, and forward UPs to the appropriate office for evaluation and appropriate correspondence.~~

~~(1) For Washington headquarters, AAP-100 is the UP coordinator.~~

~~(2) For Regions and Centers, acquisition offices should designate a UP coordinator (the UP coordinator need not be in the acquisition office). Acquisition offices should forward to AAP-100 the name, routing symbol, and phone number of the UP coordinator(s) for their region or center. The information should be updated whenever a UP coordinator changes.~~

~~c. *UP Evaluator.* UP evaluators are individuals who conduct a comprehensive review of UPs to determine if the ideas offered are innovative and unique, are independently originated, prepared without FAA supervision, could benefit FAA's mission, and are not an advance proposal for a known FAA requirement.~~

*UP Coordinator.* The UP Coordinator is a member of AAP-100 designated by the Signing Official who serves as the central point of contact for offerors. This role includes the receiving, tracking, and coordinating of UP reviews and evaluations by the applicable service organization.

d. *UP Evaluator.* UP Evaluators are representatives from FAA technical organizations determined by the UP Coordinator to have the subject matter expertise to conduct a comprehensive evaluation of a respective UP in accordance with this Guidance section.

### **3 Content of UPan Unsolicited Proposal** Revised 1/2022/2023

~~An UP should contain the following information to permit~~To foster consideration in an objective and timely manner, an UP should contain the following information:

~~(a) basic~~(a) *Administrative Information.* Administrative information including-

~~(1) Offeror's name and address and~~(1) The offeror's name (i.e. the individual or entity submitting the proposal);

~~(2) The offeror's type of organization (e.g., profit, nonprofit, educational,)~~and status as a small business);, if applicable;

~~(2) Names and telephone~~ (3) Contact information such as the offeror's address and the names, email addresses and phone numbers of technical and business personnel to be contacted for evaluation or negotiation purposes;

~~(3) Identification of proprietary data to be used only for evaluation purposes;~~

(4) ~~Names~~ The names of other Federal, State, or local agencies or parties receiving the proposal or funding the proposed effort;

(5) ~~Date~~ Identification of proprietary data to be used only for evaluation purposes;

(6) The date of submission; and

~~(6) Signature~~ (7) The signature of a person authorized to represent and ~~to~~ contractually obligate the offeror.

(b) *Technical* Information. Technical information including-

(1) ~~Concise~~ A concise title and abstract (approximately 200 words) of the proposed effort;

(2) A reasonably complete discussion stating (i) the objectives of the effort or activity, (ii) the method of approach and extent of effort to be employed, (iii) the nature and extent of the anticipated results, and (iv) the manner in which the work will help to support the accomplishment of the ~~agency's~~ FAA's mission;

(3) ~~Names~~ The names and ~~biographical information on~~ backgrounds of the offeror's key personnel who will be involved, ~~including alternates~~; and

(4) ~~Type~~ The type of support needed from the FAA (*e.g.*, FAA property or personnel resources).

(c) *Supporting* Information. Supporting information including-

(1) ~~Proposed~~ The proposed price or total estimated cost for the effort in sufficient detail for meaningful evaluation;

(2) ~~Period~~ The period of time for which the proposal is valid (a 6-month minimum is suggested);

(3) ~~Type~~ The type of contract preferred;

(4) ~~Proposed~~ The proposed duration of the effort;

(5) ~~Brief~~A brief description of the organization, previous experience, relevant past performance, and facilities to be used;

(6) ~~Other statements, if applicable, about~~Statements related to organizational conflicts of interest, security clearances, and environmental impacts; ~~and, if applicable;~~

(7) The names and telephone numbers of FAA technical or other FAA points of contact already contacted regarding the proposal; and

(8) Statements of commitment or letters of support, if applicable.

(d) Length. While submissions do not have a page or character limit, experience has demonstrated that few UPs require more than 20 pages to sufficiently explain the proposed work and other necessary information. Offerors are encouraged to submit a proposal that is brief and concentrates on substantive material essential for a complete understanding of the project. To ensure UPs can be processed efficiently by the agency, AAP-100 may return UPs received that are deemed excessively long in length.

#### **4 Receipt ~~of UP~~** Revised 1/2022/2023

aa. Receipt. Upon receiving an UP, AAP-100 will notify the offeror of its receipt. AAP-100 seeks to return the final result of an UP (i.e. initial review and if applicable, evaluation) within 45 days after receipt. In some instances, a period of longer than 45 days may be necessary. AAP-100 will apprise offeror's of any extensions required when applicable.

b. Receipt Outside of AAP-100. ~~Often UPs are~~ If an UP is erroneously submitted directly to ~~technical organizations,~~ a service organization rather than to AAP-100. ~~If an unsolicited proposal is received outside of AAP-100,~~ the recipient should record the date of receipt and ~~immediately send all copies the proposal~~ to AAP-100. The recipient must not read the UP upon receipt, except to read any transmittal document to ascertain that ~~aan~~ UP is being submitted. This safeguard is necessary to prevent any premature disclosure of any information which may be considered confidential or proprietary by the offeror.

b. ~~UPs Received by Regions and Centers.~~ UPs are sometimes submitted directly to regions and centers because the nature of the UP pertains only to region or center activities. Region and center UP coordinators may process these UPs if the subject matter indicates the region or center should evaluate the UP. The UP recipient should deliver all copies of the UP to the UP coordinator for the region or center. The UP coordinator will notify AAP-100 by e-mail of receipt of the UP and the subject matter; AAP-100 will assign a UP number for identification purposes and inform the region/center of that number. The UP coordinator will promptly send AAP-100 one copy of the UP and copies of all correspondence to the offeror and evaluating office.

c. UP coordinators for regions and centers will follow the same procedures as AAP-100 for processing UPs.

## **5 Procedures** Revised 1/2022

~~a. AAP-100 will process UPs as follows:~~

~~(1) Review each submission received and determine whether it constitutes a valid UP;~~

~~(2) Maintain an appropriate UP record;~~

~~(3) If a valid UP, send the UP to a UP evaluator for review;~~

~~(4) If it is not accepted, return the UP to the offeror advising of FAA policy and procedures regarding the treatment of UPs. A UP may be returned if:~~

~~(a) It is not related to the FAA mission (when returning the UP, if possible identify any other DOT operating administration whose mission may be related to the subject matter);~~

~~(b) The offeror requests withdrawal of the UP without an evaluation;~~

~~(c) The UP is not accepted for evaluation for any appropriate reason; or~~

~~(d) It does not contain a restrictive legend.~~

~~(5) Coordinate with the Procurement Legal Division (AGC 500) if any questions arise regarding proprietary data~~

~~(6) AAP-100 will retain one copy of the UP and return all remaining copies to the offeror if the UP will not be supported.~~

~~b.c. *Withdrawal or Revision.* The offeror may elect at any time after submission to withdraw or submit a revision to their proposal.~~

## **5 Record Management and Initial Review** Revised 4/2023

~~a. *Record Management.* UPs are managed in accordance with FAA Order 1350.14B. To ensure UPs are adequately processed, AAP-100 will maintain and track the processing of UPs as follows:~~

~~(1) Each UP will be given a designated log reference. The log reference is written with the fiscal year followed by a three digit number (e.g. FY2020-024);~~

~~(2) A log comprising of general information related to all UPs received and a record of FAA's subsequent processing of each proposal will be kept;~~

(3) UPs will be archived on a private, secure server accessible only to members of AAP-100.

b. *Initial Review.* Initial reviews are reviews conducted by AAP-100 following the receipt of an UP. AAP-100 will review the proposal to determine if it is valid i.e. it complies with the requirements of T3.2.2.6.A.1.c above and contains the required information listed in T3.2.2.6.A.3 above.

(1) *Valid Determinations.* Should AAP-100 determine a submitted UP satisfies the requirements of this section, AAP-100 will forward the proposal to the appropriate technical organization with subject matter expertise who will then conduct an evaluation of the UP as described in T3.2.2.6.A.6 below.

(2) *Invalid Determinations.* Should AAP-100 determine a submitted UP's contents are deficient with respect to the requirements of this section, such proposals will be deemed invalid. Offerors will be notified of the invalid determination and be provided an explanation of the deficiencies. Upon amending any such deficiencies, offerors may resubmit their proposal.

c. *Proprietary Data.* UPs may contain unique ideas which include proprietary data. Unless the offeror clearly states in writing that no restrictions are imposed on the disclosure or use of the data contained in the proposal, AAP-100 will place ~~a cover sheet or an~~ electronic distribution notice on the UP stating the following: "UNSOLICITED PROPOSAL - USE OF DATA LIMITED. All Government personnel must exercise extreme care to ensure that information in this proposal is not disclosed outside the Government and is not duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of the proposal without the written permission of the offeror. If a contract is awarded on the basis of this proposal, the terms of the contract must control disclosure and use. The notice does not limit the Government's right to use information contained in the proposal if it is obtainable from another source without restriction. This is a Government notice and will not by itself be construed to impose any liability upon the Government or Government personnel for disclosure or use of data contained in this proposal."

## **6 Evaluation** Revised 4/20224/2023

### *a. UP Evaluator Responsibilities.*

(1) *Receipt.* After receiving ~~aan~~ UP from AAP-100, the UP ~~evaluator~~Evaluator should promptly perform ~~an initial review~~a preliminary assessment of the UP to determine whether it has been submitted to the appropriate office. If the UP ~~evaluator~~Evaluator determines another office should perform the review, then the UP ~~evaluator~~Evaluator must immediately return the UP to AAP-100 with advice about which office should perform the review. ~~The UP evaluator should also identify and coordinate with any other organizations that should assist in the evaluation of the UP, and advise AAP-100 accordingly.~~

(2) ~~The UP evaluator~~If the UP Evaluator determines they are the correct office for evaluation, they should first identify and coordinate with any other organizations



that should assist in the evaluation of the UP and advise AAP-100 accordingly. The UP Evaluator should ensure a comprehensive evaluation of the UP is completed within 30 days after receipt from AAP-100. Coordinating with other offices, if necessary, should be factored into the 30 day time period. If the review cannot be completed within 30 days, the UP ~~evaluator~~Evaluator should advise AAP-100 of the reasons for the delay and when the evaluation is expected to be completed.

(32) UP ~~evaluators may~~Evaluators should consider the following when reviewing and deciding whether to support ~~aan~~ UP:

- (a) Unique and innovative methods, approaches or concepts are demonstrated;
- (b) Overall scientific, technical, or socio-economic merits of the proposal;
- (c) Potential contribution of the effort to the FAA's mission;
- (d) The offeror's capabilities, related experience, facilities, techniques or unique combinations of these which are integral factors for achieving the proposal objectives; and
- (e) The qualifications, capabilities and experience of the proposed principal investigator, team leader, or key personnel who are critical to achieving the proposal objectives.

b. Once the evaluation is completed, the UP ~~evaluator should~~Evaluator must advise AAP-100 ~~by memorandum~~ of the results ~~of the evaluation~~.

(1) Not Supported. If the proposal will not be supported, that is, the UP Evaluator determines that the FAA does not intend to ~~award~~support a contract award based on acceptance of the proposal, the UP ~~evaluator~~Evaluator should ~~include with the memorandum a draft reply to the offeror, with~~provide AAP-100 a statement which includes appropriate comments ~~concerning the proposal and~~explaining the specific reasons why the proposal will not be pursued. The UP ~~evaluator should also return all~~Evaluator must at that time ensure any copies of the UP ~~to AAP-100 in their possession are deleted. AAP-100 will use the UP Evaluators feedback to formally respond to the offeror.~~

(2) Supported. If the proposal will be supported, that is, the UP ~~evaluator should~~Evaluator indicates the FAA seeks to negotiate a potential contract award based on acceptance of the proposal, the UP Evaluator must submit ~~with the~~to AAP-100 a memorandum:

~~(a) A~~ which includes a procurement request for the requirement; and

~~(b) Written~~ A written justification to support a recommendation for a single source contract; ~~or~~

~~(c) If the UP will be supported, it will be the basis for negotiating a contract(b) :-~~

~~(d) UPs may be accepted in conjunction with inter-agency procurement procedures. If an interagency procurement is to sought to be used instead of a single source action, thea written justification using a best interest determination ~~would replace the single source justification required in (b) of this paragraph.~~ (See T3.8.1.A.2 for information pertaining to inter-agency agreements).~~

## **7 Notifying the Offeror** Revised 1/2022

~~a. AAP-100 will provide the following written notifications to offerors:~~

~~(1) Acknowledge receipt of refer the UP from the offeror, to FAA's Office of Acquisition and include a UP identification number Contracting (AAQ) for tracking purposes in the acknowledgment.~~

~~(2) Advise the offeror of the status of the proposal if the evaluation is not completed within 30 days, or is delayed, potential negotiation and the date the evaluation is expected to be completed;~~

~~(3) Advise the offeror of the results of the evaluation, using the UP evaluator's draft letter and any other award. The Contracting Officer may request additional information, such as cost or pricing data to explain why the proposal will or will not be supported by the FAA and facilities information, during the negotiation process.~~

## **87 Prohibitions** Revised 4/20224/2023

a. Government personnel must not use any data, concept, idea, or other part of aan UP as the basis, or part of the basis, for a solicitation or in negotiations with any other firm unless the offeror is notified of and agrees to the intended use. However, this prohibition does not preclude using any data, concept, or idea available to the Government from other sources without restriction.

b. Government personnel must not disclose restrictively marked information included in aan UP. The disclosure of such information concerning trade secrets, processes, operations, style of work, apparatus, and other matters, except as authorized by law, may result in criminal penalties under 18 U.S.C. 1905.

## **B Clauses**

[view contract clauses](#)

## **C Forms**

[view procurement forms](#)